

PTO/SB/08A (10-01)
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Substitute for form 1449A/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Application Number	09/005478
				Filing Date	January 12, 1998
				First Named Inventor	Levergood et al.
				Art Unit	2145
				Examiner Name	Patrice L. Winder
				Attorney Docket Number	432383800013
Sheet 1 of 8					
U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date/Date of Patent MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
plw		4305059	12/18/1981	Benton	
		4528643	7/9/1985	Freeny, Jr.	
		4529870	7/18/1986	Chaum	
		4734858	3/29/1988	Schlaefly	
		4755940	7/5/1988	Bracht et al.	
		4758063	7/19/1988	Chaum	
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		4775935	10/4/1988	Yourick	
		4795890	1/3/1989	Goldman	
		4799158	1/17/1989	Shavit et al.	
		4812628	3/14/1989	Boston et al.	
		4827508	5/2/1989	Shear	
		4891503	1/2/1990	Jewell	
		4922521	5/1/1990	Krikke et al.	
		4926480	5/15/1990	Chaum	
		4935870	6/19/1990	Burk Jr., et al.	
		4947028	8/7/1990	Gorog	
		4947430	8/7/1990	Chaum	
		4949380	8/14/1990	Chaum	
		4972318	11/20/1990	Brown et al.	
		4982346	1/1/1991	Girouard et al.	
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		4996711	2/26/1991	Chaum	
		5025373	6/18/1991	Keyser Jr., et al.	
		5060153	10/22/1991	Nakagawa	
		5077607	12/31/1991	Johnson et al.	
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		5276736	1/4/1994	Chaum	
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		5319542	8/7/1994	King Jr., et al.	
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		5341429	8/23/1994	Stringer et al.	
		5351186	9/27/1994	Bullock et al.	
		5383113	1/17/1995	Kight et al.	
	5414833	5/9/1995	Hershey et al.		
plw		5475685	12/12/1995	Bush	
Examiner Signature	Patrice L. Winder			Date Considered	1-8-07

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Sheet	2	of	8
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FOREIGN DOCUMENTS						
Examiner Initials*	Cite No.	Foreign Patent Document Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)	Publication Date -MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
plw		Q172670EP	2/28/1986	Technion Research & Development Foundation		
plw		GB 2102606	2/2/1983	National Research Development Corporation		
plw		JP 410191	1/1992			
plw		JP 05-158983	6/25/1993	Omron Corp.		
plw		WO 91/16691	10/31/1991	Jonhig Limited		
plw		WO 93/10503	5/27/1993	Citibank N.A.		
OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS						
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.				T ²
plw		PLEADINGS:				
		Amazon.com's Reply in Support of Renewed Motion to Stay				
		Deposition of G. Winfield Treese, dated October 27, 2004.				
		Deposition of Glenn Arthur Hauman with Exhibits (October 28, 2004)				
		Joint Claim Construction Chart (Patent Local Rule 4-5D1), filed December 27, 2004 with Appendix A				
		Memorandum Opinion dated April 7, 2005				
		Motion to Stay [Renewed] by Amazon.com. (Attachments: # 1 Affidavit # 2 Text of Proposed Order)(Nelson, Justin) (Entered: 04/05/2005)				
		Notice by Amazon.com re Answer to Amended Complaint, Counterclaim Of Rejection Of Claims 1-45 Of U.S. Patent No. 5,708,780				
		Order Denying Amazon's Motion to Stay Proceedings Pending Completion of the Reexamination.				
		Soverain's Disclosure of Asserted Claims and Preliminary Infringement Contentions dated June 3, 2004.				
		Soverain's Opposition to Amazon's Renewed Motion to Stay				
		Soverain's Reply to Amazon.Com's Amended Counterclaims, dated January 14, 2005.				
		Soverain's Reply to Response to Motion re: Motion to Stay				
		Soverain's Answer to Counterclaim (Amazon's Third Amended Counterclaim) by Soverain Software LLC.(Seraphine, Jennifer) (Entered:03/17/2005)				
		Soverain's Fourth Supplemental Responses to Amazon's First Set of Interrogatories (Nos. 1-14) dated March 21, 2005				
		Soverain's Responses to Amazon's First Set of Requests for Admission to Plaintiff Soverain Software (Nos. 1-100) dated March 21, 2005				
		Soverain's Responses to Interrogatory Nos. 22, 23, 26 and 36 of Amazon's Third Set of Interrogatories (Nos. 17-38) dated March 21, 2005				
		Third Supplement to Defendant Amazon's Initial Disclosures, dated March 4, 2005.				
		Transcript of the Markman Hearing Before the Honorable Leonard David United States District Judge, January 6, 2005.				
		VideoTaped Deposition of Andrew Payne dated March 11, 2005.				
		VideoTaped Deposition of Glenn Crocker with Exhibits (March 10, 2005)				
		VideoTaped Deposition of Glenn Trewitt dated January 25, 2005 (2 parts).				
		VideoTaped Deposition of Mark Levergood dated March 8, 2005 (2 Parts).				
plw		VideoTaped Deposition of Stephen Morris dated March 9, 2005.				
Examiner Signature	Patrice L. Winder				Date Considered	1-8-07

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				First Named Inventor	Levergood et al.
				Art Unit	2145
				Examiner Name	Patrice L. Winder
Sheet	4	of	8	Attorney Docket Number	432383800013
<i>plw</i>				Amazon.com Inc.'s Unopposed Motion for Leave to Amend its Answer to Include Allegations Regarding Stuff.com	
				Amazon.com's Motion for Partial Summary Judgment that claims are indefinite under 35 U.S.C. 112	
				Amazon.com's Motion for Partial Summary Judgment that '314 claims 34-39, '492 claims 17-18 and 35-36, and '780 claims 1, 4, and 22-24 are invalid under 35 U.S.C. 102	
				Declaration of James E. Geringer in Support of Amazon.com, Inc.'s Motion for Leave to Amend its Answer and Counterclaims to Add Stuff.com	
				Deposition of Glenn M. Trewitt with Exhibits (January 25, 2005)	
				Deposition of Joshua Smith with Exhibits (March 2, 2005)	
				Deposition of Michael Lazzaro with Exhibits (March 9, 2005)	
				Deposition of Thomas Soulanille with Exhibits (March 14, 2005)	
				Exhibit 1 of Geringer Declaration: Excerpts of Deposition of Michael Kuniavsky	
				Exhibit 2 of Geringer Declaration: E-mail from Brooks Cutter to Mike Kuniavsky (June 14, 1994)	
				Exhibit 3 of Geringer Declaration: Excerpts of Deposition of Richard Roake	
				Exhibit 5 of Geringer Declaration: Excerpts of Deposition of Andrew Payne	
				Exhibit 6 of Geringer Declaration: E-mail from Andrew Payne to Winfield Treese, et al. (June 15, 1994)	
				Exhibit 7 of Geringer Declaration: Excerpts of Deposition of Winfield Treese	
				Exhibit 8 of Geringer Declaration: Amazon.com, Inc.'s (Proposed) fourth Amended Answer, Affirmative Defenses, and Counterclaims to Sovereign Software, LLC's Complaint (Redlined Version)	
				Supplemental Disclosure of Preliminary Invalidity Contentions by Amazon and Gap dated July 26, 2004	
				Videotaped Deposition of Guy Henry Timothy Haskin with Exhibits (March 18, 2005)	
				Videotaped Deposition of Kevin Ming-Wei Kadala Hughes with Exhibits (March 21, 2005)	
				Videotaped Deposition of Michael Kuniavsky with Exhibits (February 22, 2005)	
				Videotaped Deposition of Phillip Hallam-Baker with Exhibits (March 11, 2005)	
				Videotaped Deposition of Robert Allen Olson with Exhibits (March 3, 2005)	
				PUBLICATIONS:	
				"Advanced Electronic Credit Authorization Through the Amherst Group SNET", News Release, pp. 1-2.	
				"CompuServe Videotex Network Offers Marketing Research Service, Ad Test." Marketing News, Nov. 25, 1983 p. 21.	
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<i>plw</i>				Burk, et al, "Digital Payment Systems Enabling Security and Observability," Computers & Security, 1989, pp. 399-415.	
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				Art Unit	2145
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Sheet	5	of	8	Attorney Docket Number	432383600013
<i>plur</i>				Case Study: The CIRBUS Banking Network; Comm. ACM 8, 28' pp. 797-8078; Aug., 1985.	
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<i>plur</i>				National Westminster Bank Group; "Clearing House Automated Payments System"; pp. 1-29, no date.	
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plw				Needham, Roger M., "Adding Capability Access to Conventional File Servers"; Xerox Palo Alto Research Center; Palo Alto, California; no date. Okamoto et al., "Universal Electronic Cash"; pp. 324-337; 1991. Payment Systems, "United States"; pp. 115-135, no date. P. Remeery et al., "Le Paiement electronique", pp. 15-23, 1988, L'Echo des RECHERCHES, No. 134. Perry, "Electronic Banking Goes to Market," IEEE Spectrum, Feb. 1988, pp. 46-49. Pfizmann et al., "How to Break and Repair a 'Provably Secure' Untraceable Payment System"; pp. 338-350; 1991. Ph. van Heurck, "TRASEC: Belgian Security System for Electronic Funds Transfers," Computers & Security, 1987, pp. 261-268. Pongratz, et al, "IC Cards in Videotex Systems," Smart Card 2000, 1989, pp. 179-186. Hirschfeld, Rafael "Making Electronic Refunds Safer"; Sections 1, 2, 4 and 6, 1992. Rivest, R.L. et al., "A Method for Obtaining Digital Signatures and Public-Key Cryptosystems," Laboratory for Computer Science, Massachusetts Institute of Technology, Cambridge, Massachusetts, no date. Schamuller-Bichl, I., "IC-Cards in High-Security Applications"; Selected Papers from the Smart Card 2000 Conference; Springer Verlag; pp. 177-199; 1991. Shain, "Security in Electronic Funds Transfer System," Computers & Security, 1989, pp. 123-137. Sirbu, Marvin A., "Internet Billing Service Design and Prototype Implementation"; An Internet Billing Server; pp. 1-19; 1993. Society for Worldwide Interbank Financial Telecommunications S.C.; "A S.W.I.F.T. Overview", no date. Staskauskas, "The Formal Specification and Design of a Distributed Electronic Funds Transfer System," IEEE Transactions on Computers, Dec. 1998, pp. 1515-1528. Stol, Privacy Protected Payments-A Possible Structure for a Real Implementation and Some Resource Considerations, Feb. 1998. Strazewski, "Computerized Service Sets Shoppers Hacking," Advertising Age, Feb. 22, 1988, p. 62. Takei, "Videotex Information System and Credit System Connecting with MARS-301 of JNR," Japanese Railway Engineering, No. 94, Sep. 1985, pp. 9-11. Tanaka, et al, "Untraceable Electronic Funds Transfer System," Electronics and Communications in Japan, 1989, pp. 47-54. Tenenbaum, Jay M. and Schiffman, Allan M., "Development of Network Infrastructure and Services for Rapid Acquisition"; adapted from a white paper submitted to DARPA by MCC in collaboration with EIT and ISI. Tunstall, "Electronic Currency," Smart Card 2000: The future of IC Cards, Oct. 1987, pp. 47-48. Vittal, J. "Active Message Processing: Messages as Messengers"; pp. 175-185; 1981. Waldner, et al, "Loss-Tolerance for Electronic Wallets," Fault-Tolerant Computing: 20th International Symposium, Jun. 1990, pp. 140-147. Weber, "Controls in Electronic Funds Transfer System," Computers & Security, 1989, pp. 209-221. Williams, "Debit Program Cuts Fraud; CompuServe Plan a Success," Pensions & Investment Age, Feb. 4, 1985, pp. 21-32. Viscas, "Official Guide to the Prodigy Service" 1991. "Announcing: Internet Shopkeeper" (8/2/1994) posting on comp.infosystems.www and misc.forsale "Net Market ("Numerous News Media Stories" (4/94)) NY TIMES, front page of bus. "Welcome First Time Visitors" "What's New." http://archive.ncsa.uiuc.edu/SDG/Software/Mosaic/Docs/old-whats-new/whats-new-0294.html Archive of WWWorder mailing list (6/18/1994 - 6/13/1994)	
plw				Examiner Signature <i>Patrice L. Winder</i>	Date Considered 1-8-07

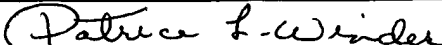
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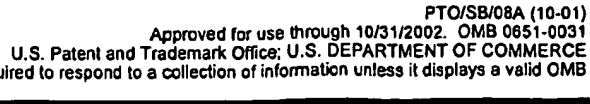
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Sheet	7	of	8		
plw				Adel Poler, I/PRO 2nd WWW Conference, Chicago, IL (10/94) (Presentation)	
				Aronson, Dan, et al., Electronic Mail to multiple recipients of the www-talk list (www-talk@info.cern.ch) on "Access and session control" dated September 15, 1994	
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Examiner Signature				Date Considered 1-8-07	

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			Filing Date	January 12, 1998	
			First Named Inventor	Levergood et al.	
			Art Unit	2145	
			Examiner Name	Patrice L. Winder	
Sheet	8	of	8	Attorney Docket Number	432383600013
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				Art Unit	2145
				Examiner Name	Patrice L. Winder
Sheet	1	of	1	Attorney Docket Number	432383600013

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date/Date of Patent MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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PW		Soverain Software LLC v. Amazon.Com, Inc. and The Gap, Inc., Form of Stipulated Request for Final Dismissals of the Actions, filed August 30, 2005	
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Filing Date	January 12, 1998
First Named Inventor	Levergood et al.
Art Unit	2145
Examiner Name	Patrice L. Winder
Attorney Docket Number	432383600013

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PW	A	"Here it is, World" internet postings to comp.infosystems.www.users discussion list re: Mosaic Netscape (10/13/1994-10/17/1994) available at: http://groups.google.com/group/comp.infosystems.www.users/browse_thread/thread/3666fe4e21b3a9e2/9a210e5f72278328?lnk=st&mum=5&hl=en#9a210e5f72278328	
PW	B	"Netscape 0.93 Setup Questions" internet postings to comp.infosystems.www.misc discussion list re: Mosaic Netscape (11/21/1994-11/25/1994) available at: http://groups.google.com/group/comp.infosystems.www.misc/browse_thread/thread/da4e82efc6512f67/8dabc347291409d5?lnk=st&mum=1&hl=en#8dabc347291409d5	
PW	C	"Netscape and Cookies" internet postings to comp.infosystems.www.users discussion list re: Mosaic Netscape (12/11/1994-12/13/1994) available at: http://groups.google.com/group/comp.infosystems.www.users/browse_thread/thread/5347cb89bbae572b/3583cab5e6c13e94?lnk=st&mum=3&hl=en#3583cab5e6c13e94	
PW	D	"Cookies.txt" internet postings to comp.infosystems.www.users discussion list re: Mosaic Netscape (12/23/1994-12/27/1994) available at: http://groups.google.com/group/comp.infosystems.www.users/browse_thread/thread/613e81948e9cf6e4/134ade72dfc1c58d?lnk=st&mum=2&hl=en#134ade72dfc1c58d	
PW	E	"How to get statefull HTML documents" internet postings to comp.infosystems.www.misc discussion list (6/24/1994-6/25/1994) available at: http://groups.google.com/group/comp.infosystems.www.misc/browse_thread/thread/fd304fedb645529a/b8f6dab2aa73ae71?lnk=st&mum=7&hl=en#b8f6dab2aa73ae71	
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PW	J	alain@hyperman.co.il, "Identifying Mosaic session" posting to www-talk discussion list (12/20/94) available at http://1997.webhistory.org/www.lists/www-talk.1994q4/1098.html	
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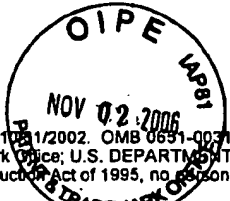
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PW	K	Joe English, "Re: Identifying Mosaic session", posting to www-talk discussion list (12/20/1994 available at: http://1997.webhistory.org/www.lists/www-talk.1994q4/1109.html			
PW	L	Steven Majewski, "Identifying Mosaic session" posting to www-talk discussion list (12/20/1994) available at: http://1997.webhistory.org/www.lists/www-talk.1994q4/1111.html			
PW	M	Nick Arnett, "Statelessness" posting to www-talk discussion list (5/16/1994) available at: http://1997.webhistory.org/www.lists/www-talk.1994q2/0562.html			
PW	N	Jared Rhine, "Statelessness" posting to www-talk discussion list (5/16/1994) available at: http://1997.webhistory.org/www.lists/www-talk.1994q2/0563.html			
PW	O	Simon Spero, "Statelessness" posting to www-talk discussion list (5/17/1994) available at: http://1997.webhistory.org/www.lists/www-talk.1994q2/0579.html			
PW	P	Jim McBeath, "Statelessness" posting to www-talk discussion list (5/27/1994) available at: http://1997.webhistory.org/www.lists/www-talk.1994q2/0683.html			
PW	Q	Phillip Hallam-Baker, "Statelessness" posting to www-talk discussion list (5/30/1994) available at: http://1997.webhistory.org/www.lists/www-talk.1994q2/0705.html			
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